

Policies of the University of North Texas	Chapter 13
13.008 Sponsored Project Proposals	Research and Innovation

Policy Statement. In submitting a sponsored project proposal, UNT is committing itself to fulfill the purposes and requirements of the proposed project through use of University personnel, resources and facilities. This policy sets out requirements related to the submission of sponsored project proposals to external sponsors, including all proposals for projects carried out in academic departments, laboratories, administrative units and clinics of UNT. In addition, this policy covers proposals for projects performed off campus, including but not limited to those performed at affiliated institutions.

Application of Policy. Faculty and staff engaged in sponsored project activities.

Definitions.

1. **Award.** “Award” means a grant, contract, subcontract, sub-grant or cooperative agreement that provides funding from an external sponsor of a sponsored project and is entered into between the sponsor and UNT.
2. **Instruction Project.** “Instruction Project” means any project involving teaching or training activities funded by an externally sponsored grant or contract, excluding research training activities, which are considered research projects.
3. **Principal Investigator.** “Principal Investigator” (PI) means a single individual who, in the event of an award from an external funding agency, shall have the full and final responsibility for the conduct of the sponsored project as proposed and as set forth in the award.
4. **Public Service Project.** “Public Service Project” means any project involving activities other than instruction or research such as public health and community service programs.
5. **Research Project.** “Research Project” means a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. It also involves the training of individuals in research techniques where such activities utilize the same facilities as other research activities.
6. **Sponsor.** “Sponsor” means any external entity that provides funding to UNT for sponsored projects. Sponsors may be (i) governmental agencies (for example, federal, state, or local governments or their administrative organizations); (ii) nonprofit organizations (for example, universities, nonprofit corporations, foundations, or associations); (iii) for profit organizations (for example, corporations, partnerships, sole proprietorships, and other business entities); or (iv) individuals. Governmental, nonprofit, and for-profit sponsors are sometimes referred to by themselves and others as “agencies”.

7. **Sponsored Project.** “Sponsored Project” means a project funded by an external sponsor through an award with UNT, where one or more of the following obligations apply (examples of sponsored projects include but are not limited to instruction projects, public service projects, or research projects):
- a. Financial Obligation – UNT is required to comply with conditions imposed when a sponsor awards funding for the performance of services or delivery of products described in a statement of work;
 - b. Regulatory Obligation – UNT is required to comply with sponsor regulations, which may include federal or state regulations;
 - c. Reporting Obligation – UNT is required to provide to the sponsor technical performance reports or regulatory or administrative reports that require information beyond stewardship reporting;
 - d. Performance Obligation – UNT is required to perform within a certain period and may be required to meet other specified requirements related to performance;
 - e. Accounting Obligation – UNT is required to establish a separate accounting record of project accountability, to provide financial reports to the sponsor, and to preserve appropriate records for audit purposes.

Procedures and Responsibilities.

- A. Grants and Contracts Administration is the administrative office responsible for reviewing and submitting proposals to external sponsors on behalf of UNT.
- B. With the support of Grants and Contracts Administration, faculty and staff members interested in engaging in sponsored project activities are responsible for seeking out and identifying funding opportunities from external sponsors. Grants and Contracts Administration is responsible to assist in identifying federal, state, foundations, non-profit and other sponsored project opportunities that may be of interest to faculty and staff members engaged in sponsored project activities.

Responsible Party: Faculty and staff members engaged in sponsored project activities, Grants and Contracts Administration

- C. At the outset of the proposal submission process, faculty or staff members interested in engaging in sponsored project activities must verify eligibility to serve as the PI in accordance with sponsor and UNT requirements and must comply with procedures for confirming PI eligibility in accordance with the Principal Investigator (PI) Handbook.

Persons eligible to be PI shall hold the title of professors, associate professors, assistant professors, or be eligible as specified in the PI Handbook, unless an exception has been requested and granted in accordance with procedures in the PI Handbook.

Responsible Party: Faculty and staff members engaged in sponsored project activities

- D. Faculty and staff members must notify Grants and Contracts Administration of their intent to pursue a funding opportunity.

Responsible Party: Faculty and staff members engaged in sponsored project activities

- E. With the support of Grants and Contracts Administration, the PI is responsible for preparing the proposal. Proposals must be prepared in accordance with sponsor guidelines and applicable proposal deadlines of the department, college and Grants and Contracts Administration. Grants and Contracts Administration shall provide support services and guidance regarding the development of a proposal submission.

Responsible Party: Faculty and staff members engaged in sponsored project activities, Grants and Contracts Administration

- F. The PI must complete and certify a proposal record in Cayuse SP, or other UNT system of record for electronic proposal routing, and upload the budget form and any other proposal or administrative forms required by Grants and Contracts Administration. Examples of other forms that may be required are the pre-award cost-sharing form and sub-recipient forms.

Responsible Party: Faculty and staff members engaged in sponsored project activities

- G. As an applicant organization, UNT has an institutional responsibility to review and approve a proposal before submission to an external sponsor. The PI, Department Head, Dean and Grants and Contracts Administration share responsibility for determining whether a proposed project and restrictions imposed on the University by the award are consistent with the University's policies, its mission, its capabilities and capacity, and its commitment to free and open inquiry. In accordance with the Principal Investigator (PI) Handbook, responsibility is also shared for reviewing the proposal and related documents for accuracy, validity, and conformity with federal, state, system, institutional, and sponsor rules, regulations, policies and guidelines with respect to the administrative, fiscal, and scientific information included in the proposal, and for determining that UNT is able to comply with its obligations as set forth in the proposal. Conflicts of interest related to the proposal must be disclosed by the Principal Investigator and other project personnel in accordance with applicable institutional

policies. Proposal related approvals and certifications attest to adherence to responsibilities for oversight.

Responsible Party: Principal Investigators, Department Heads, Deans, Grants and Contracts Administration

- H. The Director of Grants and Contracts Administration or his/her designee shall submit the final proposal to the external sponsor and sign as the authorized organizational representative for UNT after approvals and certifications in accordance with the Principal Investigator (PI) Handbook have been completed. In so doing, the Director or his/her designee on behalf of UNT is accepting the obligations and compliance requirements imposed by federal and state regulations and certifying that UNT will comply with all assurances, commitments, and certifications included as part of the proposal in the event of an award.

Responsible Party: Principal Investigators, Department Heads, Deans, Director of Grants and Contracts Administration or designee

References and Cross-references.

UNT Policy 13.007, Sponsored Projects
UNT Policy 13.002, Award Management of Sponsored Project
UNT Policy 13.005, Conflict of Interest for Sponsored Projects
UNT Policy 13.010, Export Controls

Forms and Tools.

Grants and Contracts Administration Website
Grants and Contracts Administration Forms
Principal Investigator (PI) Handbook

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